

TITLE COMPANIES

REQUIRED FILINGS IN THE STATE OF: CALIFORNIA

Filings Made During the Year 2014

| (1) Check- list | (2) Line # | (3) REQUIRED FILINGS | (4) NUMBER OF COPIES | | | (5) CA Required Electronic Filing Format (.PDF, .XLS) | (6) DUE DATE | (7) FORM SOURCE | (8) APPLICABLE NOTES |
|-----------------------|------------------|--|-------------------------|------|---------|---|-------------------------|-----------------------|----------------------------|
| | | | Domestic | | Foreign | | | | |
| | | | State | NAIC | State | | | | |
| | | I. NAIC FINANCIAL STATEMENTS | | | | | | | |
| | 1 | Annual Statement (8 ½” x 14”) | 1 | EO | xxx | PDF (Signed) Original signature page(s) required | 3/1 | NAIC | FAD201 |
| | 1.1 | Printed Investment Schedule detail (Pages E01-E27) | 1 | EO | xxx | PDF | 3/1 | NAIC | FAD201 |
| | 2 | Quarterly Financial Statement (8 ½” x 14”) | 1 | EO | xxx | PDF (Signed) Original signature page(s) required | 5/15, 8/15, 11/15 | NAIC | FAD201 |
| | | | | | | | | | |
| | | II. NAIC SUPPLEMENTS | | | | | | | |
| | 11 | Statement of Actuarial Opinion | 1 | EO | xxx | PDF (Signed) Original signature page(s) required | 3/1 | Company | FAD440 |
| | 12 | Investment Risk Interrogatories | 1 | EO | xxx | PDF | 4/1 | NAIC | FAD285 |
| | 13 | Management Discussion & Analysis | 1 | EO | xxx | PDF | 4/1 | Company | FAD350 |
| | 14 | Schedule SIS | 1 | N/A | N/A | PDF | 3/1 | NAIC | FAD420 |
| | 15 | Supplemental Compensation Exhibit | 1 | N/A | N/A | PDF | 3/1 | NAIC | FAD460 |
| | 16 | Supplemental Schedule of Business Written By Agency | 1 | EO | xxx | PDF | 4/1 | NAIC | FAD480 |
| | | | | | | | | | |
| | | III. ELECTRONIC FILING REQUIREMENTS | | | | | | | |
| | 50 | Annual Statement Electronic Filing | xxx | 1 | xxx | | 3/1 | NAIC | |
| | 51 | March .PDF Filing | xxx | 1 | xxx | | 3/1 | NAIC | |
| | 52 | Supplemental Electronic Filing | xxx | 1 | xxx | | 4/1 | NAIC | |
| | 53 | Supplemental .PDF Filing | xxx | 1 | xxx | | 4/1 | NAIC | |
| | 54 | Quarterly Statement Electronic Filing | xxx | 1 | xxx | | 5/15, 8/15, 11/15 | NAIC | |
| | 55 | Quarterly .PDF Filing | xxx | 1 | xxx | | 5/15, 8/15, 11/15 | NAIC | |
| | 56 | June .PDF Filing | xxx | 1 | xxx | | 6/1 | NAIC | |
| | | | | | | | | | |
| | | IV. AUDIT/INTERNAL CONTROL RELATED REPORTS | | | | | | | |
| | 71 | Accountants Letter of Qualifications | 1 | EO | 1 | PDF | 6/1 | Company | FAD221 |
| | 72 | Audited Financial Report | 1 | EO | 1 | PDF | 6/1 | Company | FAD220 |
| | 73 | Audited Financial Reports Exemption Affidavit | 1 | N/A | 1 | PDF | When applicable | Company | FAD120 |
| | 74 | Communication of Internal Control Related Matters Noted in Audit | 1 | N/A | 1 | PDF | 8/1 | Company | FAD222 |
| | 75 | Independent CPA (change) | 1 | N/A | N/A | PDF | When applicable | Company | FAD124 |
| | 76 | Management’s Report of Internal Control Over Financial Reporting | 1 | N/A | N/A | PDF | 8/1 | Company | FAD223 |
| | 77 | Notification of Adverse Financial Condition | 1 | N/A | 1 | PDF | When applicable | Company | FAD122 |
| | 78 | Request for Extension/Exemption to File | 1 | N/A | 1 | PDF | When applicable | Company | FAD125 |
| | 79 | Relief from the five-year rotation requirement for lead audit partner | 1 | EO | xxx | PDF | 3/1, When applicable | Company | FAD224 |
| | 80 | Relief from the one-year cooling off period for independent CPA | 1 | EO | xxx | PDF | 3/1, When applicable | Company | FAD225 |
| | 81 | Relief from the Requirements for Audit Committees | 1 | EO | xxx | PDF | 3/1, When applicable | Company | FAD226 |
| | 82 | Request to File Consolidated Audited Annual Statements | 1 | N/A | N/A | PDF | When applicable | Company | FAD126 |
| | 83 | CPA Awareness Letter | 1 | N/A | N/A | PDF | 6/1 | Company | FAD121 |
| | | | | | | | | | |
| | | V. STATE REQUIRED FILINGS | | | | | | | |
| | 101 | Authorization for Disclosure of Financial Records | 1 | N/A | 1 | PDF (Signed) Original signature page(s) required | 3/1 | CA | FAD107 |
| | 102 | California Affidavit – Declaration to Valuation of Property & Securities/Verification | 1 | N/A | 1 | PDF (Signed) Original signature page(s) required | 3/1 | CA | FAD105 |
| | 103 | CA Supplement to the MDA for Title Insurers | 1 | N/A | 1 | PDF | 4/1 | CA | FAD163 A |
| | 104 | Certificate of Compliance | 0 | N/A | 1 | PDF | 3/1 | State of Domicile | FAD101 B |
| | 105 | Disclosure of Iran-Related Investments | 1 | N/A | N/A | PDF & XLS | 6/30 | CA | FAD470 F |
| | 106 | Disclosure of Material Transactions | 1 | N/A | N/A | PDF | When applicable | CA | FAD26 C |
| | 107 | Form B (Holding Company Registration Statement) | 1 | N/A | 1 | PDF (Signed) Original signature page(s) required | 4/30 | NAIC | FAD500 D |
| | 108 | Form C (Summary of Registration Statement) | 1 | N/A | 1 | PDF (Signed) Original signature page(s) required | 4/30 | NAIC | FAD501 D |

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|-----------------------|------------------|--|-------------------------|------|---------|---|--------------------------|-----------------------|----------------------------|
| | | | Domestic | | Foreign | | | | |
| | | | State | NAIC | State | | | | |
| | 109 | Form F (Enterprise Risk Report) | 1 | N/A | N/A | PDF | 4/30, when applicable | NAIC | FAD502 G |
| | 110 | Insurer Climate Risk Disclosure Survey | 1 | N/A | 1 | See notes | See notes | See notes | FAD204 E |
| | 111 | Schedule of California Direct Premiums written (by county) | 1 | N/A | 1 | PDF | 3/1 | CA | FAD162 |
| | 112 | Schedule of Underwritten Title companies or Controlled Escrow companies | 1 | N/A | 1 | PDF | 3/1 | CA | FAD161 |

GENERAL INSTRUCTIONS

Contact Information

For questions regarding filings, please contact Financial Records Unit at (213)346-6423/Financial_Records@insurance.ca.gov or visit the California Department of Insurance (“CDI”) website at: <http://www.insurance.ca.gov>.

Submission

All electronic filings must be made via the Online Assistance System for Insurer Submittals (“OASIS”). For documents requiring original signature(s)/certification/notarization, the electronic PDF file must contain the required signature(s)/certification/notarization.

All original signature pages must be mailed to:

California Department of Insurance
Financial Analysis Division, Financial Records Unit
300 South Spring Street, South Tower, 13th Floor
Los Angeles, CA 90013

Original Signatures and Signature/Notarization/Certification

Refer to California Insurance Code Section (“CICS”) 903 and CICS 903.5 for guidance. For signature(s), please use BLUE INK.

Note: As of January 1, 2008, all documents notarized in the state of California must comply with Section 8202 of the Government Code and Section 1185 of the Civil Code in reference to establishing an affiant’s identity.

Late Filings

All filings must be submitted before 12:00 midnight of the due date. Any company that fails to make a timely and complete filing may be subject to a late filing fee. A late filing fee will be assessed for the first month and every month or fractional part thereof until the required filing is submitted. The Company is required to pay the late filing fee via OASIS.

Amended Filings

Amended items must be filed timely. If there are signature requirements for the original filing, same should be followed for any subsequent amendment. Please contact Financial Records Unit at (213) 346-6423 or Financial_Records@insurance.ca.gov prior to submitting any amendment via OASIS.

Request for Extension/Exemption to File

Not all documents can be given an extension of time to file or to be exempted from filing. Please refer to California Insurance Code (“CIC”) and California Code of Regulations (“CCR”) for guidance. Pursuant to CICS 924, applicable late filing fees will be assessed even with a granted extension. Unless otherwise specified in the CIC or CCR, the request for extension/exemption must be received by the Department:

- For a domestic insurer, at least 30 days prior to the filing due date.
- For a foreign insurer, at least 10 days prior to the filing due date. The request must be accompanied by a copy of the domiciliary state insurance regulator’s approval letter.

For requests relating to Section IV - AUDIT/INTERNAL CONTROL RELATED REPORTS, please submit them via OASIS. For other requests, please e-mail them to Financial Records Unit at Financial_Records@insurance.ca.gov directly.

NONE or N/A Filings

- For NAIC Submissions, see Official NAIC Annual Statement Blank for Supplemental Exhibits and Schedules Interrogatories.
- For CA Supplemental Submissions when there is nothing to report or the form is not applicable, the word “NONE” or “N/A” must appear stamped/written on the required form. Company information must be filled in (e.g., Company name and NAIC #).

Column (1) Checklist

Place an “x” in this column when mailing information to the state.

Column (2) Line #

Line # refers to a standard filing number used for reference only. This line number may change from year to year.

| | |
|------------|---|
| Column (3) | Required Filings Name of form or document to be filed. Under Section III. ELECTRONIC FILING REQUIREMENTS: The <i>Annual Statement Electronic Filing</i> includes the annual statement data and all supplements due March 1, per the <i>Annual Statement Instructions</i> . This includes all detail investment schedules and other supplements for which the <i>Annual Statement Instructions</i> exempt printed detail. The <i>March .PDF Filing</i> is the .pdf file for the annual statement, detail for investment schedules and all supplements due March 1. The <i>Supplemental Electronic Filing</i> includes all supplements due April 1, per the <i>Annual Statement Instructions</i> . The <i>Supplemental .PDF Filing</i> is the .pdf file for all supplements due April 1. The <i>Quarterly Electronic Filing</i> includes the quarterly statement data. The <i>Quarterly .PDF Filing</i> is the .pdf for quarterly statement data. The <i>June .PDF Filing</i> is the .pdf file for the Audited Financial Statements and Accountants Letter of Qualifications. |
| Column (4) | Number of Copies <ul style="list-style-type: none">• XXX = California does not require this filing, if a copy is filed with the state of domicile and the data is filed electronically with the NAIC.• N/A = Filing is required with the domiciliary state only.• 0 = California domestic companies are not required to file.• EO = Electronic only filing. Electronic filing is intended to include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC. Companies are not required to file hard copy filings with the NAIC. |
| Column (5) | CA Required Electronic Filing Format <u>Adobe PDF (PDF)</u> For document requiring original signature(s)/certification/notarization, the PDF file must contain the required signature(s)/certification/notarization. <u>MS Excel (XLS)</u> For document requiring an Excel version, the related form is provided on our Website. The Excel version does not require signature(s)/certification/notarization. |
| Column (6) | Due Date Indicates the date on which the company must file the form. |
| Column (7) | Form Source <ul style="list-style-type: none">• NAIC = Company must obtain the forms from the appropriate vendor.• CA = CDI will prescribe the forms with the filing instructions.• Company = Company, or its representative is expected to provide the form based upon the appropriate state instructions or the NAIC <i>Annual Statement Instruction</i>.• State of Domicile = Document issued by the domiciliary state insurance regulator. |
| Column (8) | Applicable Notes This column contains references to the Notes that apply to each item listed on the checklist. It also contains the CDI form numbers (in red) for reference only. |

NOTES

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|---|--|---|
| A | CA Supplement to the MDA for Title Insurers | Newer requirement for Title insurers. Submit online utilizing OASIS. Subject to late filing fees pursuant to CICS 924. |
| B | Certificate of Compliance | <ul style="list-style-type: none">• Foreign insurer must file with the CDI a Certificate of Compliance issued by its state of domicile or port of entry insurance regulator.• California domestic companies that are required to file a Certificate of Compliance with other states should contact the Corporate and Regulatory Affairs Branch to obtain a copy. <div>California Department of Insurance Corporate and Regulatory Affairs Branch Re: Certificate of Compliance 45 Fremont Street, 24th Floor San Francisco, CA 94105 (415) 538-4154</div> |
| C | Disclosure of Material Transactions | Refer to CICS 1185 for guidance. When applicable, the report shall be filed within 15 days after the end of the calendar month in which the transactions occur. |
| D | Forms B and C (Holding Company Registration Statement and Summary) | Apply to California domestic and commercially domiciled insurers only. |
| E | Insurer Climate Risk Disclosure Survey | Check the CDI website: CLIMATE RISK DISCLOSURE SURVEY for the latest information. For questions please email ClimateRiskSurvey@insurance.ca.gov or call Randi Wood at (916) 492-3501. |
| F | Disclosure of Iran-Related Investments | For your convenience, the Disclosure of Iran-Related Investments form and the Department of General Services List are being made available on our Website. |
| G | Form F (Enterprise Risk Report) | Refer to CICS 1215.4 (m) for guidance. For questions, please e-mail lom@insurance.ca.gov . |